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PTO/SB/21 (09-06)  
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<b>TRANSMITTAL FORM</b>  (to be used for all correspondence after initial filing)	Application Number	10/607,855
	Filing Date	June 27, 2003
	First Named Inventor	Shanti A. CAVANAUGH
	Art Unit	2871
	Examiner Name	Phu Vu
Total Number of Pages in This Submission	Attorney Docket Number	595242000610

ENCLOSURES (Check all that apply)		
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Reply to Missing Parts/ Incomplete Application <input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ <input type="checkbox"/> Landscape Table on CD	<input type="checkbox"/> After Allowance Communication to TC <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please Identify below): Return Receipt Postcard Copies of IDS Citations (9 refs)
<div>Remarks</div>		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT			
Firm Name	MORRISON & FOERSTER LLP		
Signature			
Printed name	Alex Chartove		
Date	February 26, 2007	Reg. No.	31,942



Patent  
Docket No. 595242000610

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent Application of:  
Shanti A. CAVANAUGH

Serial No.: 10/607,855

Filing Date: June 27, 2003

For: FLAT TOP TUNABLE FILTER WITH  
INTEGRATED DETECTOR

Examiner: Phu Vu

Group Art Unit: 2871

**INFORMATION DISCLOSURE  
STATEMENT UNDER 37 C.F.R. § 1.97 & 1.98**

MS Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Pursuant to 37 C.F.R. §1.97 and § 1.98, Applicant submits for consideration in the above-identified application the documents listed on the attached Form PTO/SB/08a/b. Copies of foreign documents and non-patent literature are submitted herewith. The Examiner is requested to make these documents of record.

This Information Disclosure Statement is submitted within three months of the application filing date or before mailing of a first Office Action on the merits; accordingly, no fee or separate requirements are required.

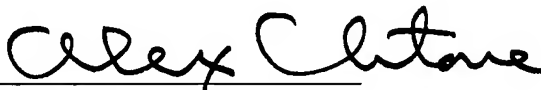
Applicant would appreciate the Examiner initialing and returning the Form PTO/SB/08a/b, indicating that the information has been considered and made of record herein.

The information contained in this Information Disclosure Statement under 37 C.F.R. § 1.97 and § 1.98 is not to be construed as a representation that: (i) a complete search has been made; (ii) additional information material to the examination of this application does not exist; (iii) the information, protocols, results and the like reported by third parties are accurate or enabling; or (iv) the above information constitutes prior art to the subject invention.

In the event that the transmittal form is separated from this document and the Patent and Trademark Office determines that an extension and/or other relief (such as payment of a fee under 37 C.F.R. § 1.17 (p)) is required, Applicant petitions for any required relief including extensions of time and authorizes the Commissioner to charge the cost of such petition and/or other fees due in connection with the filing of this document to **Deposit Account No. 03-1952** referencing **(595242000610)**.

Dated: February 26, 2007

Respectfully submitted,

By 

Alex Chartove

Registration No.: 31,942  
MORRISON & FOERSTER LLP  
1650 Tysons Blvd, Suite 300  
McLean, Virginia 22102  
(703) 760-7744



ALTERNATIVE TO PTO/SB/08A/B (09/06)

<b>Substitute for form 1449/PTO</b>  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)			<b>Complete if Known</b>		
			Application Number	10/607,855	
			Filing Date	June 27, 2003	
			First Named Inventor	Shanti A. CAVANAUGH	
			Art Unit	2871	
			Examiner Name	Phu Vu	
Sheet	1	of	2	Attorney Docket Number	595242000610

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
	1.	US-3,637,291	01-25-1972	KESSLER et al.	
	2.	US-4,135,789	01-23-1979	HALL	
	3.	US-4,148,128	04-09-1979	FELDMAN	
	4.	US-4,165,157	08-21-1979	KOBALÉ	
	5.	US-4,310,220	01-12-1982	KUWAGAKI	
	6.	US-4,315,668	02-16-1982	AFTERGUT	
	7.	US-4,410,238	10-18-1983	HANSON	
	8.	US-4,545,650	10-08-1985	KIRKMAN	
	9.	US-4,556,289	12-03-1985	FERGASON	
	10.	US-4,634,225	01-06-1987	HAIM	
	11.	US-5,013,140	05-07-1991	HEALEY	
	12.	US-5,015,057	05-14-1991	RUMBAUGH	
	13.	US-5,088,806	02-18-1992	MCCARTNEY	
	14.	US-5,150,236	09-22-1992	PATEL	
	15.	US-5,276,747	01-04-1994	PAN	
	16.	US-5,396,355	03-07-1995	WADA et al.	
	17.	US-5,414,541	05-09-1995	PATEL	
	18.	US-5,430,561	07-04-1995	KATO et al.	
	19.	US-5,515,461	05-07-1996	DERI et al.	
	20.	US-5,528,402	06-18-1996	PARKER	
	21.	US-5,724,165	03-03-1998	WU	
	22.	US-5,726,805	03-10-1998	KAUSKIK	
	23.	US-5,727,109	03-10-1995	PAN	
	24.	US-5,739,888	04-14-1998	OGURA et al.	
	25.	US-5,781,258	07-14-1998	DABRAL et al.	
	26.	US-5,859,728	01-12-1999	COLIN	
	27.	US-5,877,876	03-30-1999	BIRDWELL	
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	29.	US-5,963,289	10-05-1999	STEFANOV et al.	
	30.	US-5,963,291	10-05-1999	WU	
	31.	US-6,075,512	06-13-2000	PATEL	
	32.	US-6,094,246	07-25-2000	WONG	
	33.	US-6,140,466	08-15-2000	BUCHWALTER et al.	
	34.	US-6,141,076	10-31-2000	LIU	
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	36.	US-6,151,092	11-21-2000	FUJIMURA et al.	
	37.	US-6,166,838	12-26-2000	LIU	
	38.	US-6,181,846	01-30-2001	PAN	
	39.	US-6,190,774	02-20-2001	TANAKA et al.	
	40.	US-6,201,593	03-13-2001	WONG	
	41.	US-6,215,928	04-10-2001	FRIESEM	
	42.	US-6,253,015	06-26-2001	UKRAINCZYK	
	43.	US-6,285,478	09-04-2001	LIU	
	44.	US-6,285,500	09-04-2001	RANALLI et al.	
	45.	US-6,323,974	11-27-2001	HARRIS et al.	
	46.	US-6,353,467	03-05-2002	WONG	
	47.	US-6,356,389	03-12-2002	NILSEN	
	48.	US-6,384,882	05-07-2002	NAGAYAMA et al.	

Examiner Signature		Date Considered	
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Substitute for form 1449/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)				<b>Complete if Known</b>		
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				Art Unit	2871	
Examiner Name	Phu Vu					
Attorney Docket Number	595242000610					
Sheet	2	of	2			

	49.	US-6,385,217	05-07-2002	SINGH et al.	
	50.	US-6,388,730	05-14-2002	LINDQUIST	
	51.	US-6,404,538	06-11-2002	CHEN	
	52.	US-6,417,948	07-09-2002	CHOWDHURY et al.	
	53.	US-6,426,816	07-30-2002	WU	
	54.	US-6,429,962	08-06-2002	XU	
	55.	US-6,455,841	09-24-2002	ZHOU	
	56.	US-6,462,803	10-08-2002	KUMAGAI et al.	
	57.	US-6,498,680	12-24-2002	ZHOU	
	58.	US-6,515,751	02-04-2003	CRAIGHEAD et al.	
	59.	US-6,519,022	02-11-2003	XU	
	60.	US-6,603,781	08-05-2003	STINSON	
	61.	US-6,621,580	09-16-2003	MYATT	
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	63.	US-6,864,943-A1	03-08-2005	HIRAKATA et al.	
	64.	US-2001/0043297-A1	04-06-2004	ARAI	
	65.	US-2002/0030783-A1	03-14-2002	TANIGUCHI	
	66.	US-2002/0167634	11-14-2002	WATANABE et al.	
	67.	US-2003/0201966	10-30-2003	PAN	

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
	68.	JP-62-058221	03-13-1987	RICOH KK	Translation of Abstract	
	69.	JP-63-137212	06-09-1988	TOPPAN PRINTING CO., LTD.	Translation of Abstract	
	70.	WO-02/14909	02-21-2002	REFLEXITE CORP		

\*EXAMINER: Initial if information considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	71.	DEL VILLAR et al. (2003). "Analysis of one-dimensional photonic band gap structures with a liquid crystal defect towards development of fiber-optic tunable wavelength filters," <i>Optics Express</i> 11(5): 430-436.	
	72.	HIRAI et al. (2003). "Fine pattern fabrication on glass surface by imprint lithography," <i>Microelectronic Engineering</i> 67-68:237-244.	
	73.	PARK and KOSTEL. (2002). "Nano-Optics Redefine Rules for Optical Processing," <i>Communication Systems Design</i> August 2002:23-26.	
	74.	SHARON et al. (1997). "Resonant grating-waveguide structures for visible and near-infrared radiation," <i>Journal of the Optical Society of America</i> 14(11):2985-2993.	
	75.	WANG et al. (2003). "MF28: Electrically Tunable Free-Space Sub-Wavelength Grating Filters with 30nm Tuning Range," <i>OFC 2003</i> 1:31-32.	
	76.	WANG et al. (2003). "Design and Realization of Multi-Layer Integrated Nano-Optic Devices," <i>NFOEC Technical Proceedings</i> , pp. 148-156.	
	77.	WANG, Jian Jim. (2002). "Subwavelength Optical Elements (SOEs)—A Path to Integrate Optical Components on a Chip," <i>NFOEC Technical Proceedings</i> , pp. 1144-1152.	

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

Examiner Signature	Date Considered
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